

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Letters Patent of:  
John C. Harvey *et al.*

Patent No.: 7,926,084

Issued: April 12, 2011

For: SIGNAL PROCESSING APPARATUS AND  
METHODS

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Commissioner for Patents  
Office of Patent Publication  
Attention: Certificate of Correction Branch  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CERTIFICATE OF CORRECTION UNDER 37 C.F.R. §1.323**

Dear Sir:

Upon reviewing the above-identified patent, Patentee noted typographical errors that should be corrected.

At Column 286, line 53-54, delete “the” and insert --said at least one-- prior to “control processor”

At Column 286, line 24, insert --and-- after “cessor;”

At Column 286, line 60, delete “and”

At Column 287, line 3, delete “a” and insert --said-- after “executing”

At Column 287, line 21, insert --control-- after “one”

At Column 288, line 10, delete “processing”

At Column 288, line 16, insert --;-- after memory

At Column 288, line 28, delete “and”

Patent claims 1-19 were originally claims 35-50, which were entered in Examiner's Amendment contained in the October 15, 2010's Notice of Allowance. The language introduced via the Examiner's amendment was arrived at during a series of interviews with the Examiner. Although the language was formally introduced by the Examiner, it was informally proposed by the Applicants. The Examiner's Amendment was authorized by Applicants on August 29, 2010. A copy of the Examiner's Amendment is included as Appendix A. The corrections noted above do not add new matter.

The Examiner's Amendment contained several typographical errors. First, claim 1 recites "the processor" rather than "said at least one control processor." Similarly, claim 6 mistakenly recites "at least one processor" rather than then, "at least one control processor." The correction of these two typographical errors adds no new matter. In addition, dependent claim 2 recites "a failure handling routine" rather than "**said** failure handling routine" in referencing a limitation initially introduced in independent claim 1. Claim 1 further erroneously contains a performing step that states "performing an error correction routine by checking and correcting processing of at least a portion of said information transmission." Applicants intended the step to state "performing an error correction routine by checking and correcting of at least a portion of said information transmission." This correction is consistent with the language of the claim as a whole and with the similar performing step of claim 15.

The remaining proposed corrections are clear on their face and also do not add new matter.

Please charge our Deposit Account No. 50-4494 in the amount of \$100.00 covering the fee set forth in 37 CFR 1.20(a). No additional fees are believed necessary for filing this Request. However, if any additional fees are due, the Director is hereby authorized to charge such fees to our Deposit Account No. 50-4494.

Request for Certificate of Correction  
Patent No. 7,926,084  
Attorney Docket No. PMC-003 C76  
Page 3 of 5

Transmitted herewith is a proposed Certificate of Correction effecting such amendment.  
Patentee respectfully solicits the granting of the requested Certificate of Correction.

Dated: April 26, 2011

Respectfully submitted,

By /Thomas J. Scott, Jr./

Thomas J. Scott, Jr.

Registration No.: 27,836  
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(202) 346-4000  
Attorney for Patentee

Request for Certificate of Correction  
Patent No. 7,926,084  
Attorney Docket No. PMC-003 C76  
Page 4 of 5

**Exhibit A**



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

## NOTICE OF ALLOWANCE AND FEE(S) DUE

70813 7590 10/15/2010

GOODWIN PROCTER LLP  
901 NEW YORK AVENUE, N.W.  
WASHINGTON, DC 20001

EXAMINER

OKTIZ CRIADO, JORGE L.

ART UNIT

PAPER NUMBER

2627

DATE MAILED: 10/15/2010

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
08/459,788	06/02/1995	JOHN C. HARVEY	5634.243	4663

TITLE OF INVENTION: SIGNAL PROCESSING APPARATUS AND METHODS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$0	\$0	\$1510	01/18/2011

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

### HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER:** Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

# **PART B - FEE(S) TRANSMITTAL**

**Complete and send this form, together with applicable fee(s), to:** Mail **Mail Stop ISSUE FEE**  
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**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

70813 7590 10/15/2010

**GOODWIN PROCTER LLP**  
**901 NEW YORK AVENUE, N.W.**  
**WASHINGTON, DC 20001**

## **Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
08/459,758	06/02/1995	JOHN C. HARVEY	5634.243	4663

**TITLE OF INVENTION: SIGNAL PROCESSING APPARATUS AND METHODS**

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$0	\$0	\$1510	01/18/2011

EXAMINER	ART UNIT	CLASS-SUBCLASS
ORTIZ CRIADO, JORGE L.	2627	455-003100

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1.....  
2.....  
3.....

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47, Rev 03-02 or more recent) attached. Use of a **Customer Number is required.**

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE (CITY AND STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ Issue Fee
- ☐ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies .....

- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2039 is attached.
- ☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number ..... (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature: ..... Date: .....

Typed or printed name: ..... Registration No. ....

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
08/459,788	06/02/1995	JOHN C. HARVEY	5634.243	4663

76813 7590 10/15/2010

GOODWIN PROCTER LLP  
901 NEW YORK AVENUE, N.W.  
WASHINGTON, DC 20001

EXAMINER

OKTIZ CRIADO, JORGE L.

ART UNIT	PAPER NUMBER
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2627

DATE MAILED: 10/15/2010

## Determination of Patent Term Extension or Adjustment under 35 U.S.C. 154 (b)

(application filed prior to June 8, 1995)

This patent application was filed prior to June 8, 1995, thus no Patent Term Extension or Adjustment applies.

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

# Notice of Allowability

Application No.

06/459,788

Examiner

JORGE L. ORTIZ CRIADO

Applicant(s)

HARVEY ET AL.

Art Unit

2627

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to communication filed on 03/05/2003.
2. ☒ The allowed claim(s) is/are 35-50.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All b) ☐ Some\* c) ☐ None of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-162) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
  - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
    - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
  - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.

Identifying indicia such as the application number (see 37 CFR 1.54(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

## Attachment(s)

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit  
of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_

/Jorge L. Ortiz-Criado/  
Primary Examiner, Art Unit 2627



## DETAILED ACTION

### EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR

1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Carl L. Benson on 08/29/2010.

The application has been amended as follows:

In the claims:

1-34. (Cancelled)

35. (New) A method of controlling a receiver station, said receiver station including a receiver, a memory operatively connected to said receiver, and at least one control processor operatively connected to said memory, said method comprising the steps of:

receiving, at said receiver, an information transmission including processor instructions and a television program;

performing an error correction routine by a process of checking and correcting said information transmission;

programming said receiver station to perform a failure handling routine in accordance with said processor instructions of said information transmission;

passing information contained in said television program to said memory;

discerning a failure evidencing of at least one of an incomplete and an incorrect television program unit by processing said information passed to said memory corrected in said error

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correction routine that causes an incompleteness operation functionality of the control processor;

executing said failure handling routine in consequence on said step of discerning a failure, said failure handling routine including:

generating and storing operation failure evidencing information of said receiver station,

clearing said memory, and

restoring operation functionality of said at least one control processor based on and in accordance to said stored information, and

instructing said at least one control processor to commence waiting to receive subsequent processor instructions received in said information transmission;

wherein said method controls said receiver station.

36. (New) The method of claim 35, wherein said failure handling routine further includes placing data at said memory to produce programming in consequence of said step of executing a failure handling routine.

37. (New) The method of claim 35, wherein said failure handling routine further includes interrupting said at least one processor in accordance with said failure handling routine.

38. (New) The method of claim 35, wherein said failure handling routine causes said at least one processor to select a code designating an instruction to be executed, and jump to a memory location based on said selected code.

39. (New) The method of claim 39, wherein said code is selected by computing a target number.

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40. (New) The method of claim 35, wherein said step of discerning a failure comprises comparing information stored at a first memory location to information stored at a second memory location.

41. (New) The method of claim 40, wherein at least one of said first memory location and said second memory location comprises a dedicated register at said at least one processor.

42. (New) The method of claim 35, wherein said error correction routine includes forward error correction.

43. (New) The method of claim 35, further comprising the step of:  
altering said stored operation failure evidencing information to reflect said step of discerning a failure.

44. (New) The method of claim 36, wherein said produced programming comprises video.

45. (New) The method of claim 35, wherein said program comprises mass medium programming.

46. (New) The method of claim 35, wherein said program includes video.

47. (New) The method of claim 35, wherein said program comprises a computer program.

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48. (New) The method of claim 35, wherein said step of programming said receiver station comprises:

receiving said failure handling routine from a remote station;

directing said received failure handling routine to a programmable device; and

storing said received failure handling routine at said programmable device.

49. (New) A method of controlling a receiver station, said receiver station including a receiver, a memory operatively connected to said receiver, and at least one processor operatively connected to said memory, said method comprising the steps of:

receiving, at said receiver station, an information transmission including processor instructions and a mass medium programming including audio programming;

performing an error correction routine by checking and correcting processing of at least a portion of said information transmission;

programming said receiver station to perform a failure handling routine in accordance with said processor instructions of said information transmission;

passing information contained in said mass medium programming to said memory

discerning a failure evidencing at least one of incomplete and an incorrect mass medium programming unit in said memory by processing said information passed to said memory corrected in said error correction routine that causes an incompleteness operation functionality of the at least one processor; and

executing a failure handling routine in consequence of said step of discerning a failure, said failure handling routine including:

generating and storing operation failure evidencing information of said receiver station,

clearing said memory, and

restoring operation functionality of said at least one processor based on and in accordance to said stored information, and

Art Unit: 2627

instructing said at least one processor to commence waiting to receive subsequent processor instructions received in said information transmission;

wherein said method controls said receiver station.

50. (New) The method of controlling a receiver station of claim 49, wherein said step of executing a failure handling routine further includes:

at least one of completing, correcting and discarding at least a portion of said mass medium programming including said audio programming.

#### *Allowable Subject Matter*

Claims 35-50 are allowed.

The various claimed limitations mentioned in the claims are not taught or suggested by the prior art taken either singly or in combination, with emphasize that it is each claim, taken as a whole, including the interrelationships and interconnections between various claimed elements make them allowable over the prior art of record.

#### *Remarks*

A double patenting administrative requirement is not being required by the examiner in the instant application since the examiner has independently conducted a double patenting analysis of the claims in the instant application.

*Closing Comments*

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JORGE L. ORTIZ CRIADO whose telephone number is (571)272-7624. The examiner can normally be reached on Mon.-Fri 10:00 am- 6:30 pm).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Wayne R. Young can be reached on (571) 272-7582. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Jorge L Ortiz-Criado/  
Primary Examiner, Art Unit 2627

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO. : 7,926,084  
APPLICATION NO.: 08/459,788  
ISSUE DATE : April 12, 2011  
INVENTOR(S) : John C. Harvey et al.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

At Column 286, line 53-54, delete "the" and insert --said at least one-- prior to "control processor"

At Column 286, line 24, insert --and-- after "cessor;"

At Column 286, line 60, delete "and"

At Column 287, line 3, delete "a" and insert --said-- after "executing"

At Column 287, line 21, insert --control-- after "one"

At Column 288, line 10, delete "processing"

At Column 288, line 16, insert --;-- after memory

At Column 288, line 28, delete "and"

### MAILING ADDRESS OF SENDER (Please do not use customer number below):

THOMAS J. SCOTT, ESQ  
GOODWIN PROCTER LLP  
901 NEW YORK AVE. NW, WASHINGTON, DC 20001

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.